



Whistleblowing – What’s all the noise about?

Whistleblowing is a powerful weapon against fraud and wrongdoing that is in the public interest. It promotes a culture of ethical behavior and public accountability.

The Ontario Securities Commission (OSC) has proposed a new whistleblower program earlier this year, to encourage the reporting of serious misconduct of the Ontario securities law to the OSC. The program involves monetary payment to whistleblowers.

How should your firm prepare for this game-changing regime? What impact will the program have on your firm’s internal compliance programs? What are the key elements of a robust internal whistleblower policy? What are the consequences of failing to respond to this initiative?

Come to learn more about the first of its kind program for securities regulators in Canada.

Questions in advance are both encouraged and welcomed by the Panel.

Speakers: **Wayne Bolton**, *Chief Compliance Officer*, Edward Jones

Linda Fuerst, *Partner*, Norton Rose Fulbright Canada LLP

Kelly Gorman, *Deputy Director*, Enforcement Branch, OSC

Date: Wednesday September 23rd, 2015

Time: 7:45 – 8:00 AM Continental Breakfast
8:00 – 9:15 AM Presentation

Location: Norton Rose Fulbright Canada, Royal Bank Plaza, South Tower, Suite 3800, 200 Bay Street, Toronto, ON M5J 2Z4

Cost: \$35.00 + HST to attend in person
\$15.00 + HST to attend by conference call

Payment: Registration via credit card only.

Registration Deadline: **September 15th, 2015** (Registration may be closed earlier due to limited seating capacity). Registration will not be permitted at the door.

To Register: Registration links will be sent out via an updated notice and on <http://www.clseducation.ca/upcoming-events.html>.

We encourage you to submit a question or hypothetical events that you would like our speakers to address at this seminar, please use the space provided on the registration form or email chair@clseducation.ca. All questions will be anonymous.

Please note that there will be no presentation material provided at the seminar. Additionally, this session will not be taped for future dissemination.

SAVE THE DATES:

Monday September 14th, 2015 – ***Not Your Typical AML Update***– Breakfast Seminar, Fairmont Waterfront Hotel, Canada Place, Way, Vancouver BC

Monday September 23rd, 2015 – ***Whistleblowing – What’s all the noise about?*** – Breakfast Seminar, 200 Bay Street, Toronto ON

Thursday October 8th, 2015 – ***The State of Capital Raising in the Energy Sector*** – Breakfast Seminar, Calgary AB

Tuesday December 1st, 2015, ***CLS Annual Compliance Conference***, Metro Toronto Convention Centre, Toronto ON

Wednesday December 2nd, 2015, ***CLS Holiday Reception***, Scotia Plaza, Toronto ON

Mark your calendars now to attend these exciting events. We also invite you to bookmark our website, www.clseducation.ca, and check the Events pages frequently as information about dates and topics for our upcoming events will be posted there in advance of the invitations to register. You can also subscribe to our mailing list at <http://www.clseducation.ca/subscribe.html> to ensure that you receive all of the notices for our events.

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